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## FACSIMILE COVER SHEET

JUN 10 2005

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TOTAL NUMBER OF PAGES BEING SENT (INCLUDING COVER SHEET): 4

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DATE: June 10, 2005

TO: Examiner Jose A. Fortuna  
Group Art Unit: 1731

FAX #: 703-872-9306

PHONE #: 571-272-

Application No.: 09/874,434  
Applicant: ZHONG et al.  
Due Date: None

OUR REF.: 3275.30US01

FROM: Peter S. Dardi, Ph.D.  
PHONE #: (612) 349-5746

Attached please find the following document for filing in the above-identified patent application:

- 1) Fee Address Indication Form (1 page)
- 2) Certificate Under 3.73(b) (2 pages)

Sincerely,

Peter S. Dardi, Ph.D.  
Reg. No. 39,650

## CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that this paper is being transmitted by facsimile to the U.S. Patent and Trademark Office, Fax No. 703-872-9306 on the date shown below thereby constituting filing of same.

June 10, 2005  
Date

Peter S. Dardi

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Application No. 09/874,434

**"FEE ADDRESS" INDICATION FORM****RECEIVED  
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Address to:

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Commissioner for Patents  
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Alexandria, VA 22313-1450

Please recognize as the "Fee Address" under the provisions of 37 CFR 1.363 the following address:

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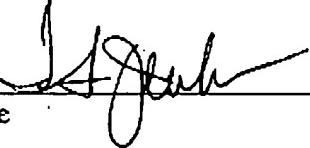
in the following listed application(s) for which the Issue Fee has been paid or patent(s).

PATENT NUMBER  
6,705,124

APPLICATION NUMBER  
09/874,434

(check one)

- Applicant/Inventor  
 Assignee of record of the entire interest  
 Attorney or agent of record - Reg. No. 39,650  
 Assignment recorded at Reel \_\_\_\_\_ Frame \_\_\_\_\_

Date: 3/18/05  
SignatureTimothy S. Jenks

Name Printed or Typed

CEO, Lightwave Microsystems

Title

12

JUN 10 2005

## PATENT APPLICATION

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

Attorney Docket No.: 3275.30US01

ZHONG et al.

Confirmation No. 5827

Application No.: 09/874,434

Examiner: Jose A. Fortuna

Filed: June 4, 2001

Group Art Unit: 1731

For: METHOD AND SYSTEM FOR A HIGH-DENSITY PLASMA DEPOSITION  
PROCESS FOR FABRICATING A TOP CLAD FOR PLANAR LIGHTWAVE  
CIRCUIT DEVICESCERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Lightwave Microsystems Corporation, a corporation, states that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

- A.  An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 011882, Frame 0013, or for which a copy thereof is attached.

OR

- B.  A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From \_\_\_\_\_ to \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_ or for which a copy thereof is attached.

2. From \_\_\_\_\_ to \_\_\_\_\_

Application No. 09/874,434

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3. From \_\_\_\_\_ to \_\_\_\_\_

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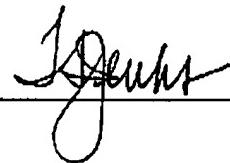
Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date: 5/17/05

\_\_\_\_\_  
Signature



Name Printed or Typed

Timothy S. Jenkins  
President and CEO  
NeoPhotonics Corporation

\_\_\_\_\_  
Title